



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Group Art Unit: 1634  
Examiner: Ms. Jeanine Anne Goldberg

DAC  
ITW

In Re PATENT APPLICATION OF

Applicants E. GINNS et al.

Appln. No. : 09/881,012

Conf. No. : 8624

Filed : June 13, 2001

For : SUSCEPTIBILITY AND RESISTANCE  
GENES FOR BIPOLAR AFFECTIVE  
DISORDER

Atty. Dkt. : 39532-181808

26694  
U.S. PATENT AND  
TRADEMARK OFFICE

**Petition to Accept an Unintentionally Delayed Claim Under  
37 CFR 1.78(a)(3)**

**MAIL STOP DAC**

Assistant Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

This Petition is to accept an unintentionally delayed claim under 37 CFR 1.78(a)(3) for priority to four U.S. priority documents: 09/175,158; 60/062,924; 08/827,568; and 60/014,334.

In an Advisory Action mailed July 8, 2004 in the above-referenced application, the Examiner alleged that "there is no clear indication of the relationship of the [instant application, 09/881,012, to] application 08/827,568 in the first line of the specification or the ADS sheet" and that "failure to timely submit the reference required by 37 CFR 1.78(a)(2)(i) is considered a waiver of benefit under 35 USC 120, 121 or 365 (c) unless a petition to accept an unintentionally delayed claim under 37 CFR 1.78(a)(3), the surcharge set forth in 37 CFR 1.17(t), and the required reference, including the relationship of the applications (unless previously submitted) are filed."

08/02/2004 CCHAU1 00000044 09881012 1330.00 0P  
01 FC:1454

Applicant maintains that the relationship between the instant application and 08/827,568 is clear from the record; and that the law firm which filed the instant application (from whom we have taken over prosecution of the application) inadvertently failed to indicate clearly the details of this relationship in the ADS accompanying the instant application.

The present application claims priority to two lines of cases. The four cases whose priority is claimed are indicated on the ADS filed with the present application (attached):

The first line of cases: the present application is a CON of 09/175,158 (filed 10/19/1998), which claims benefit of provisional application 60/062,924 (filed 10/20/1997). Proof that 09/175,158 (hereafter referred to as " '158") claims priority to 60/062,924 is provided by the Inventor Declaration in the '158 case (enclosed).

The second line of cases: the present application is a CON of 09/175,158 (filed 10/19/1998), which is a CIP of 08/827,568 (filed 3/28/1997), which claims benefit of provisional application 60/014,334 (filed 3/29/1996). Proof that 08/827,568 (hereafter referred to as " '568") claims priority to 60/014,334 is provided by the inventor Declaration in the '568 case and by the filing receipt in the '568 case (attached).

Connection between the two lines of cases: The filing receipt for the '158 case (2 copies attached) indicates that the '158 case claims priority to (in addition to 60/062,924) the '568 case and the provisional application to which the '568 case claims priority, 60/014,334. Clearly, the PTO has acknowledged that the '568 case (and its parent) are related to the '158 case, which in turn is a priority document for the instant application.

Applicants note that the filing receipt for the '158 states that the '158 case is a "CON" of the '568 case. The '158 case contains more information than does the '568 case. For example, the '158 case has at least 12 figures, whereas the '568 case has only 2 figures. Clearly, the '158 case is a CIP (not a CON) of '158. It is not uncommon for CIPs to be listed as CONs in the PTO records.

The attached copy of the ADS filed with the instant application indicates that the applicants clearly meant to claim priority to all four of the relevant cases: 09/175,158; 60/062,924; 08/827,568; and 60/014,334; and that the failure to indicate the precise relationship among these cases was an inadvertent error on the part of the law firm that filed the application. Present counsel first learned that priority was not considered to be

properly claimed in the Office Action issued 4/22/2003. Applicants responded on 7/22/2003 that documents to which Applicants wished to claim priority were properly indicated. The subsequent Office Action, issued 10/3/2003, indicated that the Examiner still considered the claim to priority to be defective. Applicants further amended the specification to clarify the priority claim in the response filed 3/3/2004. The Examiner indicated in a subsequent telephone interview (about 7/1/2004) and an Advisory Action issued 7/8/2004 that Applicant's amendments were insufficient to satisfy the Office requirements for a priority claim, and that the present petition is necessary for a proper priority claim to be made.

It is respectfully submitted that from the time of filing of the application, responsible counsel made good faith attempts to claim the proper priority, and showed due diligence in correcting the priority claims upon learning of the alleged deficiencies in the priority claims.

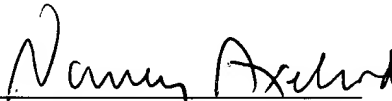
A supplemental ADS, which clearly indicates the relationships among the four priority documents is attached. Furthermore, an amendment to the first sentence of the instant specification, clarifying the relationships of the four priority documents to one another and to the instant application, is also attached.

Accordingly, it is respectfully requested that the claim to priority as set forth above and in the accompanying amendment and ADS be granted.

A check for the required surcharge set forth in 37 CFR 1.17(t) - \$1330 - is attached. Should any additional fee be deemed due, please charge such fee to our Deposit Account No. 22-0261 and advise us accordingly.

Respectfully submitted,

Date: July 30, 2004



Nancy J. Axelrod, Ph.D.  
Registration No. 44,014

VENABLE  
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Group Art Unit: 1634  
Examiner: Ms. Jeanine Anne Goldberg

Re PATENT APPLICATION OF

Applicants : E. GINNS et al.

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For : SUSCEPTIBILITY AND RESISTANCE  
GENES FOR BIPOLAR AFFECTIVE  
DISORDER

Atty. Dkt. : 39532-181808

**SUPPLEMENTAL**  
**AMENDMENT**

26694  
U.S. PATENT AND  
TRADEMARK OFFICE

**MAIL STOP AF**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

In response to the Advisory Action mailed July 8, 2004 in the above-referenced application, please amend the application as indicated below and consider the remarks which follow. A Petition to accept an unintentionally delayed claim for domestic priority, under 37 CFR 1.78(a)(3) and a supplemental ADS are also attached to this Reply.

**Amendments to the Specification** begin on page 2 of this paper.

## AMENDMENTS TO THE SPECIFICATION

Please replace the paragraph beginning at page 1, line 8 with the following paragraph:

This application ~~claims priority to~~ is a continuation of Application Ser. No. 09/175,158 (filed Oct. 19, 1998, now abandoned), which claims priority to US Provisional Application Ser. No.s. 60/014,334, filed March 29, 1996 and 60/062,924 (filed October 20, 1997, now abandoned). Application 09/175,158 is also a Continuation-In -Part of, -and also to Application Ser. Nos. 08/827,568, filed March 28, 1997, now abandoned, which claims priority to US Provisional Application Ser. No. 60/014,334 (filed March 29, 1996).and 09/175,158, filed October 19, 1998. These disclosures are incorporated herein by reference for all purposes.

### **REMARKS/ARGUMENTS**

In response to the Examiner's request in the Advisory Action mailed July 8, 2004, applicants have amended the first sentence of the specification to more clearly indicate the relationships of the four priority documents to one another and to the present application.

In addition, a Supplemental ADS is attached, which further clarifies the relationships of the four priority documents to one another and to the present application.

Furthermore, a Petition to accept an unintentionally delayed claim for domestic priority, under 37 CFR 1.78(a)(3), is also attached, as is the requisite fee.

With regard to the Examiner Interview, applicant's representative agrees with the Examiner Summary of the substance of the interview. In brief, the interview covered the following items:

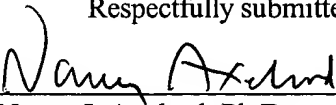
1. Claims: Mutually agreed upon claims were submitted in a supplemental Reply, filed July 6, 2004, in response to the outstanding final Office Action.
2. Priority to earlier U.S. applications: The Examiner is of the position that priority claims to earlier applications were not properly set forth. An amendment to the specification is set forth above and a supplemental ADS and a petition regarding the claim priority are filed herewith.

It is believed that, this formality having been addressed, the application is in condition for allowance, which action is respectfully requested. Should any issues remain that may be resolved by a telephone discussion, the Examiner is invited to telephone the undersigned.

A fee was paid for the second month extension of time with the Reply filed on July 3, 2004. Accordingly, a fee for the third month extension of time ( $\$950 - \$420 = \$530$ ) is attached. Should any additional fee be deemed due, please charge such fee to our Deposit Account No. 22-0261 and advise us accordingly.

Date: July 30, 2004

Respectfully submitted,

  
\_\_\_\_\_  
Nancy J. Axelrod, Ph.D.  
Registration No. 44,014

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US67483v1



## **SUPPLEMENTAL APPLICATION DATA SHEET**

### **Application Information**

**Application Number::** 09/881,012  
**Filing Date::** June 13, 2001  
**Application Type::** Regular  
**Subject Matter::** Utility  
**Suggested Classification::**  
**Suggested Group Art Unit::** 1634  
**CD-ROM or CD-R?::**  
**Number of CD Disks::**  
**Number of Copies of CDs::**  
**Sequence Submission?::**  
**Computer Readable Form (CFR)?::**  
**Number of Copies of CFR::**  
**Title::** SUSCEPTABILITY AND RESISTANCE GENES  
FOR BIPOLAR AFFECTIVE DISORDER  
**Attorney Docket Number::** 39532-181808  
**Request for Early Publication?::** No  
**Request for Non-Publication?::** No  
**Suggested Drawing Figure::**  
**Total Drawing Sheets::** 13  
**Small Entity?::** No  
**Latin Name::**  
**Variety Denomination Name::**  
**Petition Included?::**  
**Petition Type::**  
**Licensed US Govt. Agency::**  
**Contract or Grant Numbers::**  
**Secrecy Order in Parent Appl.::** No



## **Applicant Information**

<b>Applicant Authority Type::</b>	Inventor
<b>Primary Citizenship::</b>	USA
<b>Country::</b>	USA
<b>Status::</b>	Full Capacity
<b>Given Name::</b>	Edward
<b>Middle Name::</b>	I.
<b>Family Name::</b>	Ginns
<b>Name Suffix::</b>	
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<b>State or Province of Residence::</b>	Massachusetts
<b>Country of Residence::</b>	USA
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<b>City of Mailing Address::</b>	Worcester
<b>State or Province of Mailing Address::</b>	Massachusetts
<b>Country of Mailing Address::</b>	USA
<b>Postal or Zip Code of Mailing Address::</b>	01604
<b>Applicant Authority Type::</b>	Inventor
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<b>Country::</b>	USA
<b>Status::</b>	Full Capacity
<b>Given Name::</b>	Janice
<b>Middle Name::</b>	A.
<b>Family Name::</b>	Egeland
<b>Name Suffix::</b>	
<b>City of Residence::</b>	Hershey
<b>State or Province of Residence::</b>	Pennsylvania
<b>Country of Residence::</b>	USA

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**State or Province of Mailing Address::** Pennsylvania  
**Country of Mailing Address::** USA  
**Postal or Zip Code of Mailing Address::** 17033

**Applicant Authority Type::** Inventor  
**Primary Citizenship::** USA  
**Country::** USA  
**Status::** Full Capacity  
**Given Name::** Steven  
**Middle Name::** M.  
**Family Name::** Paul

**Name Suffix::**  
**City of Residence::** Carmel  
**State or Province of Residence::** Indiana  
**Country of Residence::** USA  
**Street of Mailing Address::** 1145 Laurelwood  
**City of Mailing Address::** Carmel  
**State or Province of Mailing Address::** Indiana  
**Country of Mailing Address::** USA  
**Postal or Zip Code of Mailing Address::**

### **Correspondence Information**

**Correspondence Customer Number::** 26694  
**Phone Number::** (202) 344-4000  
**Fax Number::** (202) 344-8300  
**E-Mail Address::** njaxelrod@venable.com

### **Representative Information**

**Representative Customer Number::** 26694

567451V1

## Domestic Priority Information

Application::	Continuity Type::	Parent Application::	Parent Filing Date::	Status::
This application	Continuation of	09/175,158	10/19/1998	ABN
09/175,158	Non-Provisional of	60/062,924	10/20/1997	ABN
09/175,158	Continuation-in-part of	08/827,568	03/28/1997	ABN
08/827,568	Non-Provisional of	60/014,334	03/29/1996	ABN

## Foreign Priority Information

Country::	Application Number::	Filing Date::	Priority Claimed::

## Assignee Information

**Assignee Name::** University of Miami  
**Street of Mailing Address::** 1475 N.W. 12<sup>th</sup> Avenue, Suite 2012  
**City of Mailing Address::** Miami  
**State or Province of Mailing Address::** Florida  
**Country of Mailing Address::** USA  
**Postal or Zip Code of Mailing Address::** 33136

**Assignee Name::** Government of the United States of America, as represented by the secretary, Department of Health and Human Services  
**Street of Mailing Address::** National Institutes of Health  
Office of Technology Transfer  
6011 Executive Boulevard, Suite 325  
**City of Mailing Address::** Rockville  
**State or Province of Mailing Address::** Maryland  
**Country of Mailing Address::** USA  
**Postal or Zip Code of Mailing Address::** 33136



## DECLARATION AND POWER OF ATTORNEY

As a below named inventor, I declare that:

My residence, post office address and citizenship are as stated below next to my name; I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural inventors are named below) of the subject matter which is claimed and for which a patent is sought on the invention entitled: **SUSCEPTIBILITY AND RESISTANCE GENES FOR BIPOLAR AFFECTIVE DISORDER** the specification of which \_ is attached hereto or X was filed on October 19, 1998 as Application No. 09/175,158 and was amended on \_ (if applicable).

I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above. I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, Section 1.56. I claim foreign priority benefits under Title 35, United States Code, Section 119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed.

### Prior Foreign Application(s)

Country	Application No.	Date of Filing	Priority Claimed Under 35 USC 119	
			Yes	No
			Yes	No

I hereby claim the benefit under Title 35, United States Code § 119(e) of any United States provisional application(s) listed below:

Application No.	Filing Date
60/062,924	October 20, 1997

I claim the benefit under Title 35, United States Code, Section 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, Section 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, Section 1.56 which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

Application No.	Date of Filing	Status		
		Patented	Pending	Abandoned
		Patented	Pending	Abandoned
		Patented	Pending	Abandoned

**POWER OF ATTORNEY:** As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) of the Government of the United States of America as represented by the Secretary of the Department of Health and Human Services, Office of Technology Transfer, to prosecute this application and transact all business in the Patent and Trademark Office connected therewith.

Robert Benson, Reg. No. 33,612  
Steven M. Ferguson, Reg. No. 38,448  
James C. Haight, Reg. No. 25,588  
John P. Kim, Reg. No. 38,514

Susan S. Rucker, Reg. No. 35,762  
David R. Sadowski, Reg. No. 32,808  
Jack Spiegel, Reg. No. 34,477

Send Correspondence to Appointed Associate Attorney or Agent  
Address:

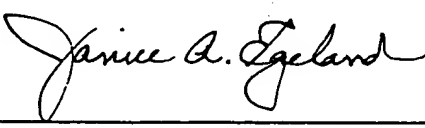
Timothy L. Smith  
TOWNSEND and TOWNSEND and CREW LLP  
Two Embarcadero Center, 8th Floor  
San Francisco, CA 94111-3834

Direct Telephone Calls and Facsimiles to Appointed Associate  
Attorney or Agent:

Name: Timothy L. Smith  
Reg. No. 35,367  
Telephone: 415-576-0200  
Fax: 415-576-0300

Full Name of Inventor 1	Last Name Ginns	First Name Edward	Middle Name or Initial I.	
Residence & Citizenship	City Bethesda	State/Foreign Country Maryland	Country of Citizenship U.S.A.	
Post Office Address	Post Office Address 8617 Rayburn Road	City Bethesda	State/Country Maryland	Zip Code 20817
Full Name of Inventor 2	Last Name Egeland	First Name Janice	Middle Name or Initial A.	
Residence & Citizenship	City Hershey	State/Foreign Country Pennsylvania	Country of Citizenship U.S.A.	
Post Office Address	Post Office Address 49 Sylvania Road	City Hershey	State/Country Pennsylvania	Zip Code 17033
Full Name of Inventor 3	Last Name Paul	First Name Steven	Middle Name or Initial M.	
Residence & Citizenship	City Carmel	State/Foreign Country Indiana	Country of Citizenship U.S.A.	
Post Office Address	Post Office Address 518 Cedar Lake Court	City Carmel	State/Country Indiana	Zip Code 46032

I further declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Title 18 of the United States Code, Section 1001 and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

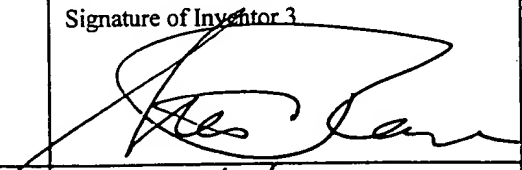
Signature of Inventor 1	Signature of Inventor 2 	Signature of Inventor 3
Date	Date Apr. 6, 1999	Date

Send Correspondence to Appointed Associate Attorney or Agent Address: Timothy L. Smith <b>TOWNSEND and TOWNSEND and CREW LLP</b> Two Embarcadero Center, 8th Floor San Francisco, CA 94111-3834	Direct Telephone Calls and Facsimiles to Appointed Associate Attorney or Agent:  Name: Timothy L. Smith Reg. No. 35,367 Telephone: 415-576-0200 Fax: 415-576-0300
--	---

Full Name of Inventor 1	Last Name <b>Giins</b>	First Name <b>Edward</b>	Middle Name or Initial <b>I.</b>	
Residence & Citizenship	City <b>Bethesda</b>	State/Foreign Country <b>Maryland</b>	Country of Citizenship <b>U.S.A.</b>	
Post Office Address	Post Office Address <b>8617 Rayburn Road</b>	City <b>Bethesda</b>	State/Country <b>Maryland</b>	Zip Code <b>20817</b>
Full Name of Inventor 2	Last Name <b>Egeland</b>	First Name <b>Janice</b>	Middle Name or Initial <b>A.</b>	
Residence & Citizenship	City <b>Hershey</b>	State/Foreign Country <b>Pennsylvania</b>	Country of Citizenship <b>U.S.A.</b>	
Post Office Address	Post Office Address <b>49 Sylvania Road</b>	City <b>Hershey</b>	State/Country <b>Pennsylvania</b>	Zip Code <b>17033</b>
Full Name of Inventor 3	Last Name <b>Paul</b>	First Name <b>Steven</b>	Middle Name or Initial <b>M.</b>	
Residence & Citizenship	City <b>Carmel</b>	State/Foreign Country <b>Indiana</b>	Country of Citizenship <b>U.S.A.</b>	
Post Office Address	Post Office Address <b>518 Cedar Lake Court</b>	City <b>Carmel</b>	State/Country <b>Indiana</b>	Zip Code <b>46032</b>

1145 Laurelwood

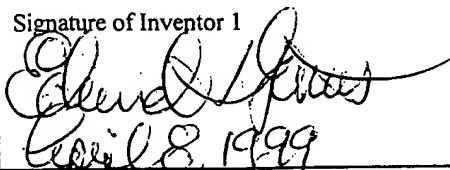
I further declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Title 18 of the United States Code, Section 1001 and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Signature of Inventor 1	Signature of Inventor 2	Signature of Inventor 3 
Date	Date	Date <b>4/8/99</b>

Send Correspondence to Appointed Associate Attorney or Agent Address: Timothy L. Smith TOWNSEND and TOWNSEND and CREW LLP Two Embarcadero Center, 8th Floor San Francisco, CA 94111-3834	Direct Telephone Calls and Facsimiles to Appointed Associate Attorney or Agent:  Name: Timothy L. Smith Reg. No. 35,367 Telephone: 415-576-0200 Fax: 415-576-0300
---	--

Full Name of Inventor 1	Last Name Gunn	First Name Edward	Middle Name or Initial I.	
Residence & Citizenship	City Bethesda	State/Foreign Country Maryland	Country of Citizenship U.S.A.	
Post Office Address	Post Office Address 8617 Rayburn Road	City Bethesda	State/Country Maryland	Zip Code 20817
Full Name of Inventor 2	Last Name Egeland	First Name Janice	Middle Name or Initial A.	
Residence & Citizenship	City Hershey	State/Foreign Country Pennsylvania	Country of Citizenship U.S.A.	
Post Office Address	Post Office Address 49 Sylvania Road	City Hershey	State/Country Pennsylvania	Zip Code 17033
Full Name of Inventor 3	Last Name Paul	First Name Steven	Middle Name or Initial M.	
Residence & Citizenship	City Carmel	State/Foreign Country Indiana	Country of Citizenship U.S.A.	
Post Office Address	Post Office Address 518 Cedar Lake Court	City Carmel	State/Country Indiana	Zip Code 46032

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Signature of Inventor 1  April 8, 1999	Signature of Inventor 2	Signature of Inventor 3
Date	Date	Date



### DECLARATION AND POWER OF ATTORNEY

As a below named inventor, I declare that:

My residence, post office address and citizenship are as stated below next to my name; I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural inventors are named below) of the subject matter which is claimed and for which a patent is sought on the invention entitled: **SUSCEPTIBILITY GENES FOR BIPOLAR AFFECTIVE DISORDER** the specification of which \_\_\_ is attached hereto or X was filed on March 28, 1997 as Application No. 08/827,568 and was amended on \_\_\_\_\_ (if applicable).

I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above. I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, Section 1.56. I claim foreign priority benefits under Title 35, United States Code, Section 119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed.

#### Prior Foreign Application(s)

Country	Application No.	Date of Filing	Priority Claimed Under 35 USC 119
			Yes No
			Yes No

I hereby claim the benefit under Title 35, United States Code § 119(e) of any United States provisional application(s) listed below:

Application No.	Filing Date
<b>60/014,334</b>	<b>March 29, 1996</b>

I claim the benefit under Title 35, United States Code, Section 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, Section 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, Section 1.56 which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

Application No.	Date of Filing	Status
		Patented Pending Abandoned
		Patented Pending Abandoned
		Patented Pending Abandoned

**POWER OF ATTORNEY:** As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) of the Government of the United States of America as represented by the Secretary of the Department of Health and Human Services, Office of Technology Transfer, to prosecute this application and transact all business in the Patent and Trademark Office connected therewith.

Robert Benson, Reg. No. 33,612  
Steven M. Ferguson, Reg. No. 38,448  
Steven L. Finley, Reg. No. 36,357  
James C. Haight, Reg. No. 25,588

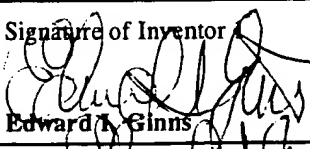

Gloria H. Richmond, Reg. No. 30,416  
Susan S. Rucker, Reg. No. 35,762  
David R. Sadowski, Reg. No. 32,808  
Jack Spiegel, Reg. No. 34,477



Send Correspondence to Appointed Associate Attorney or Agent Address: <b>Kenneth A. Weber</b> <b>TOWNSEND and TOWNSEND and CREW LLP</b> <b>Two Embarcadero Center, 8th Floor</b> <b>San Francisco, CA 94111-3834</b>	Direct Telephone Calls and Facsimiles to Appointed Associate Attorney or Agent:  Name: Kenneth A. Weber Reg. No. 31,677 Telephone: (415) 576-0200 Fax: (415) 576-0300
--	--

Full Name of Inventor 1	Last Name <b>Ginns</b>	First Name <b>Edward</b>	Middle Name or Initial <b>I.</b>	
Residence & Citizenship	City <b>Bethesda</b>	State/Foreign Country <b>Maryland</b>	Country of Citizenship <b>U.S.A.</b>	
Post Office Address	Post Office Address <b>8617 Rayburn Road</b>	City <b>Bethesda</b>	State/Country <b>Maryland</b>	Zip Code <b>20817</b>
Full Name of Inventor 2	Last Name <b>Egeland</b>	First Name <b>Janice</b>	Middle Name or Initial <b>A.</b>	
Residence & Citizenship	City <b>Hershey</b>	State/Foreign Country <b>Pennsylvania</b>	Country of Citizenship <b>U.S.A.</b>	
Post Office Address	Post Office Address <b>49 Sylvania Road</b>	City <b>Hershey</b>	State/Country <b>Pennsylvania</b>	Zip Code <b>17033</b>
Full Name of Inventor 3	Last Name <b>Paul</b>	First Name <b>Steven</b>	Middle Name or Initial <b>M.</b>	
Residence & Citizenship	City <b>Carmel</b>	State/Foreign Country <b>Indiana</b>	Country of Citizenship <b>U.S.A.</b>	
Post Office Address	Post Office Address <b>518 Cedar Lake Court</b>	City <b>Carmel</b>	State/Country <b>Indiana</b>	Zip Code <b>46032</b>

I further declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

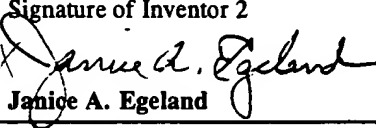
Signature of Inventor 1  <b>Edward I. Ginns</b>	Signature of Inventor 2 <b>Janice A. Egeland</b>	Signature of Inventor 3 <b>Steven M. Paul</b>
Date  <b>SEP 26, 1997</b>	Date	Date

F:\DATA\PS\PTOD\UHD\78651.1

Send Correspondence to Appointed Associate Attorney or Agent Address: <b>Kenneth A. Weber</b> <b>TOWNSEND and TOWNSEND and CREW LLP</b> <b>Two Embarcadero Center, 8th Floor</b> <b>San Francisco, CA 94111-3834</b>	Direct Telephone Calls and Facsimiles to Appointed Associate Attorney or Agent:  <b>Name: Kenneth A. Weber</b> <b>Reg. No. 31,677</b> <b>Telephone: (415) 576-0200</b> <b>Fax: (415) 576-0300</b>
--	--

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Full Name of Inventor 2	Last Name <b>Egeland</b>	First Name <b>Janice</b>	Middle Name or Initial <b>A.</b>	
Residence & Citizenship	City <b>Hershey</b>	State/Foreign Country <b>Pennsylvania</b>	Country of Citizenship <b>U.S.A.</b>	
Post Office Address	Post Office Address <b>49 Sylvania Road</b>	City <b>Hershey</b>	State/Country <b>Pennsylvania</b>	Zip Code <b>17033</b>
Full Name of Inventor 3	Last Name <b>Paul</b>	First Name <b>Steven</b>	Middle Name or Initial <b>M.</b>	
Residence & Citizenship	City <b>Carmel</b>	State/Foreign Country <b>Indiana</b>	Country of Citizenship <b>U.S.A.</b>	
Post Office Address	Post Office Address <b>518 Cedar Lake Court</b>	City <b>Carmel</b>	State/Country <b>Indiana</b>	Zip Code <b>46032</b>

I further declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Signature of Inventor 1  <b>Edward I. Ginns</b>	Signature of Inventor 2  <b>Janice A. Egeland</b>	Signature of Inventor 3  <b>Steven M. Paul</b>
Date	Date <b>OCT. 13, 1997</b>	Date

F:\DATA\PS\PTODUHD\78651.1

<b>Send Correspondence to Appointed Associate Attorney or Agent Address:</b> <b>Kenneth A. Weber</b> <b>TOWNSEND and TOWNSEND and CREW LLP</b> <b>Two Embarcadero Center, 8th Floor</b> <b>San Francisco, CA 94111-3834</b>	<b>Direct Telephone Calls and Facsimiles to Appointed Associate Attorney or Agent:</b>  <b>Name: Kenneth A. Weber</b> <b>Reg. No. 31,677</b> <b>Telephone: (415) 576-0200</b> <b>Fax: (415) 576-0300</b>
---	---

<b>Full Name of Inventor 1</b>	<b>Last Name</b> Ginns	<b>First Name</b> Edward	<b>Middle Name or Initial</b> I.	
<b>Residence &amp; Citizenship</b>	<b>City</b> Bethesda	<b>State/Foreign Country</b> Maryland	<b>Country of Citizenship</b> U.S.A.	
<b>Post Office Address</b>	<b>Post Office Address</b> 8617 Rayburn Road	<b>City</b> Bethesda	<b>State/Country</b> Maryland	<b>Zip Code</b> 20817
<b>Full Name of Inventor 2</b>	<b>Last Name</b> Egeland	<b>First Name</b> Janice	<b>Middle Name or Initial</b> A.	
<b>Residence &amp; Citizenship</b>	<b>City</b> Hershey	<b>State/Foreign Country</b> Pennsylvania	<b>Country of Citizenship</b> U.S.A.	
<b>Post Office Address</b>	<b>Post Office Address</b> 49 Sylvania Road	<b>City</b> Hershey	<b>State/Country</b> Pennsylvania	<b>Zip Code</b> 17033
<b>Full Name of Inventor 3</b>	<b>Last Name</b> Paul	<b>First Name</b> Steven	<b>Middle Name or Initial</b> M.	
<b>Residence &amp; Citizenship</b>	<b>City</b> Carmel	<b>State/Foreign Country</b> Indiana	<b>Country of Citizenship</b> U.S.A.	
<b>Post Office Address</b>	<b>Post Office Address</b> 518 Cedar Lake Court	<b>City</b> Carmel	<b>State/Country</b> Indiana	<b>Zip Code</b> 46032

I further declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

<b>Signature of Inventor 1</b>	<b>Signature of Inventor 2</b>	<b>Signature of Inventor 3</b>
Edward I. Ginns	Janice A. Egeland	Steven M. Paul
<b>Date</b>	<b>Date</b>	<b>Date</b> 9/24/97

FILING RECEIPT



015280-248-2  
UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231  
6WL

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTORNEY DOCKET NO.	DRWGS	TOT CL	IND CL
08/827,568	03/28/97	1815	\$792.00	015280-24820	2	21	2

DAVID B RAN  
TOWNSEND AND TOWNSEND AND CREW  
TWO EMBARCADERO CENTER 8TH FLOOR  
SAN FRANCISCO CA 94111-3834

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Application Processing Division's Customer Correction Branch within 10 days of receipt. Please provide a copy of the Filing Receipt with the changes noted thereon.

Applicant(s)

EDWARD I. GINNS, BETHESDA, MD; JANICE A. EGELAND,  
HERSHEY, PA; STEVEN M. PAUL, CARMEL, IN.

CONTINUING DATA AS CLAIMED BY APPLICANT-

PROVISIONAL APPLICATION NO. 60/014,334 03/29/96

FOREIGN FILING LICENSE GRANTED 08/21/97

TITLE

SUSCEPTIBILITY GENS FOR BIPOLAR AFFECTIVE DISORDER

PRELIMINARY CLASS: 435

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& CREW  
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FILING RECEIPT



725  
UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
ASSISTANT SECRETARY AND COMMISSIONER  
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Washington, D.C. 20231  
15280-248-11

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTORNEY DOCKET NO.	DRWGS	TOT CL	IND CL
09/175,158	10/19/98	1623	\$1,026.00	15280-248-11	13	27	4

TIMOTHY L SMITH  
TOWNSEND AND TOWNSEND AND CREW  
TWO EMBARCADERO CENTER  
8TH FLOOR  
SAN FRANCISCO CA 94111-3834

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Application Processing Division's Customer Correction Branch within 10 days of receipt. Please provide a copy of the Filing Receipt with the changes noted thereon.

Applicant(s)

EDWARD I. GINNS, BETHESDA, MD; JANICE A. EGELAND,  
HERSHEY, PA; STEVEN M. PAUL, CARMEL, IN.

CONTINUING DATA AS CLAIMED BY APPLICANT-

PROVISIONAL APPLICATION NO. 60/062,924 10/20/97

AND A CON OF 08/827,568 03/28/97

PROVISIONAL APPLICATION NO. 60/014,334 03/29/96

FOREIGN FILING LICENSE GRANTED 11/04/98

TITLE

SUSCEPTIBILITY AND RESISTANCE GENES FOR BIPOLAR AFFECTIVE DISORDER

PRELIMINARY CLASS: 435

FILING RECEIPT  
CORRECTED



015280-24811045  
UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

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APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTORNEY DOCKET NO.	DRWGS	TOT CL	IND CL
09/175,158	10/19/98	1623	\$1,156.00	15280-248-11	13	27	4

TIMOTHY L SMITH  
TOWNSEND AND TOWNSEND AND CREW  
TWO EMBARCADERO CENTER  
8TH FLOOR  
SAN FRANCISCO CA 94111-3834

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Application Processing Division's Customer Correction Branch within 10 days of receipt. Please provide a copy of the Filing Receipt with the changes noted thereon.

Applicant(s)

EDWARD I. GINNS, BETHESDA, MD; JANICE A. EGELAND,  
HERSHEY, PA; STEVEN M. PAUL, CARMEL, IN.

CONTINUING DATA AS CLAIMED BY APPLICANT-

PROVISIONAL APPLICATION NO. 60/062,924 10/20/97  
AND A CON OF 08/827,568 03/28/97  
PROVISIONAL APPLICATION NO. 60/014,334 03/29/96

IF REQUIRED, FOREIGN FILING LICENSE GRANTED 11/04/98

TITLE

SUSCEPTIBILITY AND RESISTANCE GENES FOR BIPOLAR AFFECTIVE DISORDER

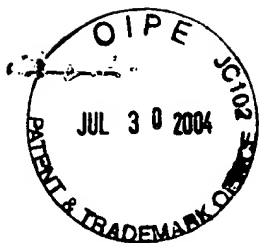
PRELIMINARY CLASS: 435

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& CREW  
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DATA ENTRY BY: FORD, EVELYN

TEAM: 04 DATE: 05/13/99

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ADS, 09/881,012

### Application Information

Application number::	Not Assigned
Filing Date::	06/13/2001
Application Type::	Regular
Subject Matter::	Utility
Suggested classification::	
Suggested Group Art Unit::	1655
CD-ROM or CD-R??::	
Number of CD disks::	
Number of copies of CDs::	
Sequence Submission::	
Computer Readable Form (CRF)?::	
Number of copies of CRF::	
Title::	Susceptability and Resistance Genes for Bipolar Affective Disorder
Attorney Docket Number::	015280-248114US
Request for Early Publication::	No
Request for Non-Publication::	No
Suggested Drawing Figure::	
Total Drawing Sheets::	13
Small Entity?::	No
Latin name::	
Variety denomination name::	
Petition included?::	No
Petition Type::	
Licensed US Govt. Agency::	
Contract or Grant Numbers One::	
Secrecy Order in Patent Appl.?::	No

### Inventor Information

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Status::  
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### **Correspondence Information**

Correspondence Customer Number:: 20350

### **Representative Information**

Representative Customer Number:: 20350

### **Domestic Priority Information**

Application::	Continuity Type::	Parent Application::	Parent Filing Date::
	Continuation	09/175,158	10/19/1998
		60/062,924	10/20/1997
		08/827,568	03/28/1997
		60/014,334	03/29/1996



**Foreign Priority Information**

Country::

Application number::

Filing Date::